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Work Assignment Form (WebForms v1 0)

Work Assignment Statement of Work - Amended

Title: Effective Approaches to Establishing Municipal Stormwater Funding Mechanisms (Region 1)

Contractor: IEc, Inc. Contract No.: EP-W-10-002

Work Assignment Number: 3-33

Estimated Period of Performance: September 20, 2012 to November 18, 2012

Estimated Level of Effort: 277.20 hours

Key EPA Personnel:

Work Assignment COR (WA COR): Carl Koch

Office of Policy

U.S. EPA

1200 Pennsylvania Av., N.W. Washington, D.C. 20460 202-566-2972 (phone) (202) 566-2200 (FAX) Mail Code: 1807-T

E-mail: Koch.carl@epa.gov

Contract Level COR: Cheryl R. Brown

OP (1805T) 202/566-0940 202/566-3001 (fax)

BACKGROUND AND PURPOSE:

Located within the Office of Policy (OP)'s Office of Strategic Environmental Management is the Evaluation Support Division (ESD). ESD's mission is to build the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

As part of its effort to encourage the effective use of program evaluations throughout the Agency, ESD promotes program evaluation through a Program Evaluation Competition (PEC or Competition). This Competition is part of an ongoing, long-term effort to help build the capacity of headquarters and regional offices to evaluate activities and to improve measures of program performance. This program evaluation project was chosen for support under the current Program Evaluation Competition sponsored by OP.

There are major challenges faced by small municipal separate storm sewer systems (MS4) in forging consensus and managing complicated negotiations associated with the development of

funding mechanisms for stormwater utilities. Many MS4 municipalities do not have the expertise to design or run such processes, and EPA lacks objective information about what are (and are not) effective strategies for forging consensus in the development of these funding mechanisms.

EPA Region 1, with the Office of Water's full support, is proposing an objective evaluation that focuses on the processes that communities have undertaken to involve members of the public and other stakeholders in reaching agreement on funding mechanisms for stormwater utilities. A rigorous evaluation will (1) document issues and challenges faced by municipalities and communities around the country,(2) identify approaches where resolutions were reached, and (3) offer guidance that other communities may need to consider as they grapple with decisions on whether or not to adopt a funding mechanism.

Evaluation questions include: What were the key issues raised by stakeholders? How were discussions set up? What kinds of groups favored or opposed the effort? How did they respond? How did the community identify a common set of interests? What processes were used to inform communities as they engaged in their discussion?

While the evaluation will help EPA Region 1 identify the factors that are proving the most critical to the development of stormwater funding mechanisms, the evaluation results will inform national efforts to identify "best practices" that lead to effective stormwater programs.

Quality Assurance (QA) Requirements

Check [] Yes or [X] NO, if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

Qualification Criteria for Personnel

The team assigned to this work assignment collectively must have expertise in the following areas:

- a. EPA OW program activities—specifically, the stormwater permit program, NPDES permits to municipalities, municipal separate storm sewer systems (MS4s), and stormwater utility funding mechanisms
- b. Evaluation of EPA programs
- c. Engagement of affected communities in EPA program work, ideally OSWER program implementation
- d. Engagement of affected communities in EPA's decision making processes
- e. Engagement of economically disadvantaged communities
- f. Processes that allow for meaningful input
- g. Formative evaluation
- h. Development of lessons and best practices

TASKS AND DELIVERABLES:

The work assignment (WA) Contracting Officer Representative (COR) will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

The contractor shall not duplicate work performed in the previous work assignment.

PHASE 1: INCLUDES TASK 1 AND TASK 2

TASK 1: PREPARE WORKPLAN (COMPLETED)

The contractor shall prepare a workplan that addresses amended work under Phase 2 within 15 calendar days of receipt of a work assignment signed by the Contracting Officer (CO). The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, and a detailed cost estimate by task and a staffing plan for the additional work. The WA COR and the Contract Level COR and the CO will review the workplan. However, only the CO can approve/ disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

Deliverables and Schedule Under Task 1

1a. Workplan
 1b. Revised workplan
 Within 15 calendar days of receipt of work assignment.
 Within 5 calendar days of receipt of comments from the CO, if required.

NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue technical direction (TD) under this work assignment. The COR will follow-up all oral technical direction in writing within 5 days.

TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY (COMPLETED)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10-11)]

No additional work under this amendment

2-1 PARTICIPATE IN A CONFERENCE CALL. The contractor shall participate in a conference call with the WA COR and other Agency staff to clarify the purpose of the evaluation report and to exchange ideas about the design of the assessment, the

information to be collected, potential sources of information, appropriate ways to analyze and present the information, and other pertinent matters. The COR will contact the contractor and provide the time and date for the conference call. Within 3 calendar days, the contractor shall deliver a basic summary of the discussion and decisions reached during the call. For purposes of costing the contractor shall assume two one-hour conference calls.

- 2-2 REVIEW DOCUMENTS. The WA COR will provide the contractor with relevant links and essential documents to become familiar with the history, goals and status of each program activity to be evaluated. In addition, the contractor shall conduct a literature review to determine if any existing evaluations, studies or analysis of the program have been conducted. The contractor is expected to seek out other documents for review, including those from government and non-government sources, to become familiar with all aspects of the program that are relevant to this evaluation effort. The contractor shall complete a review of these documents seven (7) calendar days after receiving them. The contractor shall also prepare and submit to the WA COR a bibliography and summary of the findings from the document and literature review. The contractor shall revise and update the bibliography periodically as additional literature sources are identified and reviewed.
- 2-3 SCOPING TASK. The contractor shall conduct a scoping exercise to better understand and identify the data sources (qualitative and/or quantitative) and data collection methods (surveys, in-person interviews, site visits, data base review or literature review, internet search, review of progress reports, etc.) that are most appropriate for this evaluation. The contractor shall prepare a brief memo summarizing the results of this effort. The contractor shall deliver the scoping document 7 calendar days after receiving a TD from the WA COR.
- 2-4 ASSIST IN DEVELOPING A LOGIC MODEL. The development of a logic model is an essential tool in developing a common understanding of a program's inputs, outputs and activities. As an initial step in preparation for the evaluation, EPA began developing a logic model of its program. EPA will share the draft logic model with the contractor. Based on the information gathered from the conference calls, (Task 2-1) and document review (Task 2-2), the contractor will develop and submit a draft logic model using software (e.g. Microsoft Word, Power Point) that can be manipulated/revised by EPA within 7 calendar days after receipt of the draft logic model from the WA COR. The development of the logic model is an iterative process. The contractor shall finalize the logic model within 7 calendar days after receipt of comments on draft(s) of the logic model from the WA COR.
- 2-5 REFINE EVALUATION QUESTIONS. EPA is providing an initial list of draft evaluation questions for use by the contractor (see below) The EPA evaluation team has identified the following key questions to provide focus to the program evaluation. These questions, while subject to further refinement, will form the basis of the evaluation going forward. The overarching questions would likely remain consistent, but the specific questions and sub-questions would be subject to revision. Using this list, the information gathered in Tasks 2-1 and 2-2, and the logic model developed in Task 2-4, the contractor shall confer with the WA COR and evaluation team members to discuss and refine the

evaluation questions that will be the subject of this evaluation. The contractor shall prepare and submit to the WA COR a revise, comprehensive set of draft evaluation questions and sub-questions that will be the subject of this evaluation. The contractor will finalize the draft questions 7 calendar days after receipt of comments from the WA COR via Technical Direction (TD).

Draft Evaluation Questions:

- 1. What factors are historically responsible for successes and failures of MS4s to establish dedicated stormwater program funding mechanisms?
- 2. What factors are considered critical to the successful creation of stormwater funding mechanisms—in Region 1 and other EPA Regions?
- 3. What specific strategies should be selected for transferability to parties planning to create these funding mechanisms in Region 1 (includes consideration of alternative strategies Upper Charles River pilot)?
- 4. What stakeholder processes were used to inform communities as they engaged in their discussions? (How were the discussions set up? Who were the critical stakeholders and what were their issues? How did the community identify a common set of interests?)
- 2-6 REPORT OUTLINE. The contractor shall submit for discussion and agreement an annotated outline describing the purpose, titles, and intended contents of the chapters and section of the Final Report. The outline shall also describe the planned length and style of the document. The outline shall be used as a reference by the evaluation team throughout the evaluation process. Modifications to the outline shall be discussed among the entire evaluation team.
- DESIGN EVALUATION METHODOLOGY. Based on the conference calls (2-1), the 2-7 document review (Task 2-2), the scoping document (Task 2-3), the final logic model (Task 2-4), and the final evaluation questions (Task 2-5), the contractor shall prepare a draft evaluation methodology, which will address the purpose, audience, and the refined questions that will be the focus of the evaluation. As part of the methodology, the contractor shall document the primary and secondary sources, collection methods and collection strategy, appropriate qualitative and quantitative tools for analyzing data, practical issues of data collection, and a clear strategy for data documentation and management needed to answer each evaluation question. The contractor shall also document any survey instruments, survey data, survey questions, and interview/discussion guides and protocols used in support of the evaluation. This methodology shall include an approach for identifying potential interviewees. The draft evaluation methodology shall also include a proposed schedule for each of the following: (1) all information gathering under Task 3-1, including interviews; (2) the compilation, analysis and presentation of information gathered (Task 3-2), and (3) providing a report outline and the draft and final reports (Tasks 4-1, 4-2 and 4-3). The draft evaluation methodology shall be due 21 calendar days after the receipt of a TD from the WA COR. The final evaluation methodology will be due 7 calendar days after the receipt of comments from the WA COR via TD.
- 2-8 EVALUATION ASSURANCE PLAN. The contractor shall prepare an evaluation

assurance plan (EAP) that describes the use of primary and/or secondary data sources for the evaluation report. Specifically, the EAP will describe: 1) the purpose of the evaluation, 2) the methodology used to collect data for the report, 3) how and where the data used for the evaluation was collected, 4) why the particular data collection method was chosen, 5) how the data will be used and by whom, 6) how the resulting evaluation report will be used and by whom, 7) any data limitations or caveats. An example of an EAP will be provided by the COR. The contractor shall submit the EAP to the WA COR one week after the final evaluation methodology is approved. A final EAP will be delivered 3 calendar days after receipt of comments fro the WA COR via TD.

Deliverables and Schedule Under Task 2

2-1a 2-1b	Participate in conference call Conference call summary	To be specified by the WA COR 3 calendar days after call
2-10	Summary of Document Review	7 calendar days after receipt of documents
2-3	Scoping Memo	7 calendar days after receipt of TD from WA COR
2-4	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from WA COR
2-5a	Draft Refined Questions	7 calendar days after meeting with WA COR
2-5b	Final Refined Questions	7 calendar days after receipt of comments from WA COR via TD
2-6a	Draft Report Outline	7 calendar days after meeting with WA COR
2-6b	Final Report Outline	7 calendar days after receipt of comments from WA COR via TD
2-7a	Draft Evaluation Methodology	21 calendar days after receipt of TD from WA COR
2-7b	Final Evaluation Methodology	7 calendar days after receipt of comments from WA COR via TD
2-8a	Draft Evaluation Assurance Plan	7 calendar days after WA COR approves final evaluation methodology
2-8b	Final Evaluation Assurance Plan	3 calendar days after receipt of comments via TD from WA COR

PHASE 2: INCLUDES TASKS 3 AND 4

TASK 3: INFORMATION GATHERING AND ANALYSIS (INCOMPLETE) [Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10-11)]

3-1 INFORMATION GATHERING. (INCOMPLETE)

The information that is needed to conduct this evaluation will come from a variety of sources including the information identified and collected in the original approved WA, Task 2-3 and included in the final methodology 2-7b. Within 7 calendar days after the WA COR approves the evaluation methodology (via TD), the contractor shall begin the data collection process specified in the approved evaluation methodology. The data

collection will end in accordance with the schedule included in the evaluation methodology.

Under this amended WA, the contractor shall conduct additional information gathering to include both a nationwide overview of the experiences of small municipal separate stormwater system, and in-depth analysis of specific regional cases.

The original WA specified a combination of 10-15 interviews with national experts and in-depth case studies. We now anticipate interviews with 3-4 additional national or regional experts, as well as 5-6 additional cases identified for in-depth analyses (WA Amendment 2-33 for this Task approved 26 July 12). The interviews with national/regional experts will be used to further the evaluation's understanding of key cross-cutting factors, issues and challenges as well as identify potential cases for in-depth analysis. The additional cases will focus on specific approaches, practices and challenges faced by municipalities as they decide on approaches to funding stormwater utilities. For both the overview and case-specific work, the primary means of information gathering are anticipated to be interviews and document/information review.

Interviews

As with the original WA, the IEc/Ross team will conduct interviews via telephone, email, and/or in person with national experts and those involved in specific, local efforts. The IEc/Ross team shall follow the interview/discussion guides previously developed under Task 2-7 of the original WA. The interviews will take place in conjunction with a planned Region 1 symposium on stormwater issues (scheduled for late June 2012). The interviews will adhere to any applicable Paperwork Reduction Act requirements.

EPA has learned that the expected number of participants for the Region 1 symposium has increased significantly, so this amended WA also budgets additional resources for contractor activities associated with travel, presentation and note-taking at the Region 1 symposium in June 2012. During the symposium, the contractor shall capture and summarize comments from experts participating in panel discussions.

3-2 DISCUSSION OF DATA COMPILATION, ANALYSIS, AND PRESENTATION. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall meet via conference call with the WA COR and other Agency staff to present and discuss approaches to and preliminary results of data compilation, analysis, and presentation of the information. Prior to this call and for discussion during the call, the contractor shall provide the WA COR with a briefing memo that outlines preliminary findings for each evaluation question, overall preliminary recommendations/conclusions.

Deliverables and Schedule Under Task 3

- 3-2a Discuss data compilation, analysis and presentation
- 3-2b Briefing memo of preliminary findings

In accordance with Methodology Schedule approved in Task 2-7b

In accordance with Methodology Schedule approved in Task 2-7b

TASK 4: REPORTS (INCOMPLETE)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10-11)] Additional hours are added to this amended WA under Tasks 4-1 thru 4-3 to account for the additional effort required to include findings from Task 3 in the Final Report.

4-1 DRAFT BRIEFING WITH GRAPHICS. (INCOMPLETE)

The contractor shall submit a briefing packaged that follows the final report outline. It shall cover the key points to be contained in each section of the report and should summarize the essence of the report before the report is written. The contractor shall present the draft briefing for discussion and comment to the evaluation team and key stakeholders via teleconference. For purposes of costing, the contractor shall assume that two separate draft briefings will be required.

4-2 DRAFT REPORT. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall submit a draft report containing, the compilation, analysis, and presentation of information developed and gathered during the conduct of the evaluation. Specifically, the contractor shall include information obtained or developed in support of Tasks 2-1 through 3-2. For purposes of costing, the contractor shall assume that a sequence of a draft preliminary findings memorandum and two separate draft reports will be required.

4-3 FINAL REPORT. (INCOMPLETE)

The contractor shall provide a final report that reflects appropriate consideration of the Agency's comments on the draft report and of any comments received during the oral presentations. The WA COR will provide the contractor with a copy of the ESD's Report Style Guidelines. These guidelines shall be used to write all components of the evaluation report. In addition, the contractor shall use the ESD Report Cover provided by the WA COR when preparing the final report.

In accordance with the evaluation

Deliverables and Schedule Under Task 4

Draft briefing with graphics

4-1

		methodology schedule approved by the COR in task 2-7b.
4-2	Draft report	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-3	Final report	14 calendar days after receipt of comments on the draft report and oral presentations.

	Table 1: Summary of Deliverables and Dates								
Task	Deliverable	Due Date							
Task 1 Prepare Work plan									
la	Work plan	Within 15 calendar days of receipt of work assignment							
1b Revised work plan Within 5 calendar days of receipt of comments from CO									
Task 3 Info	Task 3 Information Gathering and Analysis								
3-2	Discussion of Data Compilation, Analysis and Presentation Plan	In accordance with Methodology Schedule approved in Task 2-7b of original WA							
Task 4 Rep	port								
4-1	Draft briefing with graphics	In accordance with Methodology Schedule approved in Task 2-7b							
4-2	Draft Report	In accordance with Methodology Schedule approved in Task 2-7b							
4-3	Final Report	14 calendar days after receipt of comments on Draft Report from WA COR							

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Work Assignment Statement of Work - Amended

Title: Effective Approaches to Establishing Municipal Stormwater Funding Mechanisms

(Region 1)

Contractor: IEe, Inc. Contract No.: EP-W-10-002

Work Assignment Number: 3-33

Estimated Period of Performance: September 20, 2012 to April 30, 2013

Estimated Level of Effort: 87 hours

Key EPA Personnel:

Work Assignment COR (WA COR): Carl Koch

Office of Policy

U.S. EPA

1200 Pennsylvania Av., N.W. Washington, D.C. 20460 202-566-2972 (phone) (202) 566-2200 (FAX) Mail Code: 1807-T

E-mail: Koch.carl@epa.gov

Contract Level COR: Cheryl R. Brown

CMG/OP (1805T) 202/566-0940 202/566-3001 (fax)

BACKGROUND AND PURPOSE:

Located within the Office of Policy (OP)'s Office of Strategic Environmental Management is the Evaluation Support Division (ESD). ESD's mission is to build the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

As part of its effort to encourage the effective use of program evaluations throughout the Agency, ESD promotes program evaluation through a Program Evaluation Competition (PEC or Competition). This Competition is part of an ongoing, long-term effort to help build the capacity of headquarters and regional offices to evaluate activities and to improve measures of program performance. This program evaluation project was chosen for support under the current Program Evaluation Competition sponsored by OP.

There are major challenges faced by small municipal separate storm sewer systems (MS4) in forging consensus and managing complicated negotiations associated with the development of

funding mechanisms for stormwater utilities. Many MS4 municipalities do not have the expertise to design or run such processes, and EPA lacks objective information about what are (and are not) effective strategies for forging consensus in the development of these funding mechanisms.

EPA Region 1, with the Office of Water's full support, is proposing an objective evaluation that focuses on the processes that communities have undertaken to involve members of the public and other stakeholders in reaching agreement on funding mechanisms for stormwater utilities. A rigorous evaluation will (1) document issues and challenges faced by municipalities and communities around the country, (2) identify approaches where resolutions were reached, and (3) offer guidance that other communities may need to consider as they grapple with decisions on whether or not to adopt a funding mechanism.

Evaluation questions include: What were the key issues raised by stakeholders? How were discussions set up? What kinds of groups favored or opposed the effort? How did they respond? How did the community identify a common set of interests? What processes were used to inform communities as they engaged in their discussion?

While the evaluation will help EPA Region 1 identify the factors that are proving the most critical to the development of stormwater funding mechanisms, the evaluation results will inform national efforts to identify "best practices" that lead to effective stormwater programs.

Quality Assurance (QA) Requirements

Check [] Yes or [X] NO, if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

Qualification Criteria for Personnel

The team assigned to this work assignment collectively must have expertise in the following areas:

- a. EPA OW program activities—specifically, the stormwater permit program, NPDES permits to municipalities, municipal separate storm sewer systems (MS4s), and stormwater utility funding mechanisms
- b. Evaluation of EPA programs
- c. Engagement of affected communities in EPA program work, ideally OSWER program implementation
- d. Engagement of affected communities in EPA's decision making processes
- e. Engagement of economically disadvantaged communities
- f. Processes that allow for meaningful input
- g. Formative evaluation
- h. Development of lessons and best practices

TASKS AND DELIVERABLES:

The work assignment (WA) Contracting Officer Representative (COR) will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

AMENDMENT PURPOSE

The purpose of this amendment is to provide additional resources to enable the contractor to: 1) revise and add more detail to case descriptions developed under Task 3 by responding to additional questions raised in reviews of the initial draft; and 2) add more hours under Task 4 for the needed review and revision of the evaluation report following briefings to Region 1 management.

The contractor shall not duplicate work performed in the previous work assignment.

PHASE 1: INCLUDES TASK 1 AND TASK 2

TASK 1: PREPARE WORKPLAN (COMPLETED)

The contractor shall prepare a workplan that addresses amended work under Phase 2 within 15 calendar days of receipt of a work assignment signed by the Contracting Officer (CO). The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, and a detailed cost estimate by task and a staffing plan for the additional work. The WA COR and the Contract Level COR and the CO will review the workplan. However, only the CO can approve/ disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

Deliverables and Schedule Under Task 1

1a. Workplan1b. Revised workplan

Within 15 calendar days of receipt of work assignment. Within 5 calendar days of receipt of comments from the CO, if required.

NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue technical direction (TD) under this work assignment. The COR will follow-up all oral technical direction in writing within 5 days.

TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY (COMPLETED)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10-11)]

No additional work under this amendment

- 2-1 PARTICIPATE IN A CONFERENCE CALL. The contractor shall participate in a conference call with the WA COR and other Agency staff to clarify the purpose of the evaluation report and to exchange ideas about the design of the assessment, the information to be collected, potential sources of information, appropriate ways to analyze and present the information, and other pertinent matters. The COR will contact the contractor and provide the time and date for the conference call. Within 3 calendar days, the contractor shall deliver a basic summary of the discussion and decisions reached during the call. For purposes of costing the contractor shall assume two one-hour conference calls.
- 2-2 REVIEW DOCUMENTS. The WA COR will provide the contractor with relevant links and essential documents to become familiar with the history, goals and status of each program activity to be evaluated. In addition, the contractor shall conduct a literature review to determine if any existing evaluations, studies or analysis of the program have been conducted. The contractor is expected to seek out other documents for review, including those from government and non-government sources, to become familiar with all aspects of the program that are relevant to this evaluation effort. The contractor shall complete a review of these documents seven (7) calendar days after receiving them. The contractor shall also prepare and submit to the WA COR a bibliography and summary of the findings from the document and literature review. The contractor shall revise and update the bibliography periodically as additional literature sources are identified and reviewed.
- 2-3 SCOPING TASK. The contractor shall conduct a scoping exercise to better understand and identify the data sources (qualitative and/or quantitative) and data collection methods (surveys, in-person interviews, site visits, data base review or literature review, internet search, review of progress reports, etc.) that are most appropriate for this evaluation. The contractor shall prepare a brief memo summarizing the results of this effort. The contractor shall deliver the scoping document 7 calendar days after receiving a TD from the WA COR.
- ASSIST IN DEVELOPING A LOGIC MODEL. The development of a logic model is an essential tool in developing a common understanding of a program's inputs, outputs and activities. As an initial step in preparation for the evaluation, EPA began developing a logic model of its program. EPA will share the draft logic model with the contractor. Based on the information gathered from the conference calls, (Task 2-1) and document review (Task 2-2), the contractor will develop and submit a draft logic model using software (e.g. Microsoft Word, Power Point) that can be manipulated/revised by EPA within 7 calendar days after receipt of the draft logic model from the WA COR. The development of the logic model is an iterative process. The contractor shall finalize the logic model within 7 calendar days after receipt of comments on draft(s) of the logic model from the WA COR.

2-5 REFINE EVALUATION QUESTIONS. EPA is providing an initial list of draft evaluation questions for use by the contractor (see below) The EPA evaluation team has identified the following key questions to provide focus to the program evaluation. These questions, while subject to further refinement, will form the basis of the evaluation going forward. The overarching questions would likely remain consistent, but the specific questions and sub-questions would be subject to revision. Using this list, the information gathered in Tasks 2-1 and 2-2, and the logic model developed in Task 2-4, the contractor shall confer with the WA COR and evaluation team members to discuss and refine the evaluation questions that will be the subject of this evaluation. The contractor shall prepare and submit to the WA COR a revise, comprehensive set of draft evaluation questions and sub-questions that will be the subject of this evaluation. The contractor will finalize the draft questions 7 calendar days after receipt of comments from the WA COR via Technical Direction (TD).

Draft Evaluation Questions:

- 1. What factors are historically responsible for successes and failures of MS4s to establish dedicated stormwater program funding mechanisms?
- 2. What factors are considered critical to the successful creation of stormwater funding mechanisms—in Region 1 and other EPA Regions?
- 3. What specific strategics should be selected for transferability to parties planning to create these funding mechanisms in Region 1 (includes consideration of alternative strategies Upper Charles River pilot)?
- 4. What stakeholder processes were used to inform communities as they engaged in their discussions? (How were the discussions set up? Who were the critical stakeholders and what were their issues? How did the community identify a common set of interests?)
- 2-6 REPORT OUTLINE. The contractor shall submit for discussion and agreement an annotated outline describing the purpose, titles, and intended contents of the chapters and section of the Final Report. The outline shall also describe the planned length and style of the document. The outline shall be used as a reference by the evaluation team throughout the evaluation process. Modifications to the outline shall be discussed among the entire evaluation team.
- 2-7 DESIGN EVALUATION METHODOLOGY. Based on the conference calls (2-1), the document review (Task 2-2), the scoping document (Task 2-3), the final logic model (Task 2-4), and the final evaluation questions (Task 2-5), the contractor shall prepare a draft evaluation methodology, which will address the purpose, audience, and the refined questions that will be the focus of the evaluation. As part of the methodology, the contractor shall document the primary and secondary sources, collection methods and collection strategy, appropriate qualitative and quantitative tools for analyzing data, practical issues of data collection, and a clear strategy for data documentation and management needed to answer each evaluation question. The contractor shall also document any survey instruments, survey data, survey questions, and interview/discussion guides and protocols used in support of the evaluation. This methodology shall include an approach for identifying potential interviewees. The draft evaluation methodology shall also include a proposed schedule for each of the following:

- (1) all information gathering under Task 3-1, including interviews; (2) the compilation, analysis and presentation of information gathered (Task 3-2), and (3) providing a report outline and the draft and final reports (Tasks 4-1, 4-2 and 4-3). The draft evaluation methodology shall be due 21 calendar days after the receipt of a TD from the WA COR. The final evaluation methodology will be due 7 calendar days after the receipt of comments from the WA COR via TD.
- 2-8 EVALUATION ASSURANCE PLAN. The contractor shall prepare an evaluation assurance plan (EAP) that describes the use of primary and/or secondary data sources for the evaluation report. Specifically, the EAP will describe: 1) the purpose of the evaluation, 2) the methodology used to collect data for the report, 3) how and where the data used for the evaluation was collected, 4) why the particular data collection method was chosen, 5) how the data will be used and by whom, 6) how the resulting evaluation report will be used and by whom, 7) any data limitations or caveats. An example of an EAP will be provided by the COR. The contractor shall submit the EAP to the WA COR one week after the final evaluation methodology is approved. A final EAP will be delivered 3 calendar days after receipt of comments fro the WA COR via TD.

Deliverables and Schedule Under Task 2

2-1a	Participate in conference call	To be specified by the WA COR
2-1b	Conference call summary	3 calendar days after call
2-2	Summary of Document Review	7 calendar days after receipt of documents
2-3	Scoping Memo	7 calendar days after receipt of TD from WA COR
2-4	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from WA COR
2-5a	Draft Refined Questions	7 calendar days after meeting with WΛ COR
2-5b	Final Refined Questions	7 calendar days after receipt of comments from WA COR via TD
2-6a	Draft Report Outline	7 calendar days after meeting with WA COR
2-6b	Final Report Outline	7 calendar days after receipt of comments from WA COR via TD
2-7a	Draft Evaluation Methodology	21 calendar days after receipt of TD from WA COR
2-7b	Final Evaluation Methodology	7 calendar days after receipt of comments from WA COR via TD
2-8a	Draft Evaluation Assurance Plan	7 calendar days after WA COR approves final evaluation methodology
2-8b	Final Evaluation Assurance Plan	3 calendar days after receipt of comments via TD from WA COR

PHASE 2: INCLUDES TASKS 3 AND 4

TASK 3: INFORMATION GATHERING AND ANALYSIS (INCOMPLETE)

3-1 INFORMATION GATHERING. (INCOMPLETE)

The information that is needed to conduct this evaluation will come from a variety of sources including the information identified and collected in the original approved WA, Task 2-3 and included in the final methodology 2-7b. Within 7 calendar days after the WA COR approves the evaluation methodology (via TD), the contractor shall begin the data collection process specified in the approved evaluation methodology. The data collection will end in accordance with the schedule included in the evaluation methodology.

Under this amended WA, the contractor shall conduct additional information gathering to include both a nationwide overview of the experiences of small municipal separate stormwater system, and in-depth analysis of specific regional cases.

The original WA specified a combination of 10-15 interviews with national experts and in-depth case studies. We now anticipate interviews with 3-4 additional national or regional experts, as well as 5-6 additional cases identified for in-depth analyses (*WA Amendment 2-33 for this Task approved 26 July 12*). The interviews with national/regional experts will be used to further the evaluation's understanding of key cross-cutting factors, issues and challenges as well as identify potential cases for in-depth analysis. The additional cases will focus on specific approaches, practices and challenges faced by municipalities as they decide on approaches to funding stormwater utilities. For both the overview and case-specific work, the primary means of information gathering are anticipated to be interviews and document/information review.

Interviews

As with the original WA, the IEc/Ross team will conduct interviews via telephone, email, and/or in person with national experts and those involved in specific, local efforts. The IEc/Ross team shall follow the interview/discussion guides previously developed under Task 2-7 of the original WA. The interviews will take place in conjunction with a planned Region 1 symposium on stormwater issues (scheduled for late June 2012). The interviews will adhere to any applicable Paperwork Reduction Act requirements.

EPA has learned that the expected number of participants for the Region 1 symposium has increased significantly, so this amended WA also budgets additional resources for contractor activities associated with travel, presentation and note-taking at the Region 1 symposium in June 2012. During the symposium, the contractor shall capture and summarize comments from experts participating in panel discussions.

3-2 DISCUSSION OF DATA COMPILATION, ANALYSIS, AND PRESENTATION. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall meet via conference call with the WA COR and other Agency staff to present and discuss approaches to and preliminary results of data compilation, analysis, and presentation of the information. Prior to this call and for discussion during the call, the contractor shall provide the WA COR with a briefing memo that outlines preliminary findings for each evaluation question, overall preliminary recommendations/conclusions.

• Following presentation of preliminary findings, the review team concluded that additional detail and fact checking were needed concerning the primary case studies used in the evaluation. These details were considered necessary to enhance the value of the evaluation to the intended audience. The contractor shall provide the additional detail and conduct the necessary fact checking for the eleven case studies identified in earlier drafts

Deliverables and Schedule Under Task 3

3-2a Discuss data compilation, analysis and presentation

3-2b Briefing memo of preliminary findings

In accordance with Methodology Schedule approved in Task 2-7b
In accordance with Methodology Schedule

approved in Task 2-7b

TASK 4: REPORTS (INCOMPLETE)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10-11)] Additional hours are added to this amended WA under Tasks 4-1 thru 4-3 to account for the additional effort required to include findings from Task 3 in the Final Report.

4-1 DRAFT BRIEFING WITH GRAPHICS. (INCOMPLETE)

The contractor shall submit a briefing packaged that follows the final report outline. It shall cover the key points to be contained in each section of the report and should summarize the essence of the report before the report is written. The contractor shall present the draft briefing for discussion and comment to the evaluation team and key stakeholders via teleconference. For purposes of costing, the contractor shall assume that two separate draft briefings will be required.

4-2 DRAFT REPORT. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall submit a draft report containing, the compilation, analysis, and presentation of information developed and gathered during the conduct of the evaluation. Specifically, the contractor shall include information obtained or developed in support of Tasks 2-1 through 3-2. For purposes of costing, the contractor shall assume that a sequence of a draft preliminary findings memorandum and two separate draft reports will be required.

• Extensive revision and restructuring comments to the draft document by the evaluation team requires another round of review and editing by the contractor; additional revision/rewriting will also be required to reflect those considerations in a final executive summary. The contractor shall develop another draft document responding to comments and edits identified by the evaluation team.

4-3 FINAL REPORT. (INCOMPLETE)

The contractor shall provide a final report that reflects appropriate consideration of the Agency's comments on the draft report and of any comments received during the oral presentations. The WA COR will provide the contractor with a copy of the ESD's Report Style Guidelines. These guidelines shall be used to write all components of the evaluation report. In addition, the contractor shall use the ESD Report Cover provided by the WA COR when preparing the final report.

-8-

Deliverables and Schedule Under Task 4

4-1	Draft briefing with graphics	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-2,a	Draft reports	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-2.b	Final Draft report	As specified via Technical Directive.
4-3	Final report	14 calendar days after receipt of comments on the draft report and oral presentations.

	Table 1: Summary of Deliverables and Dates							
Task	Deliverable	Due Date						
Task 1 Prepare Work plan								
1a	Work plan	Within 15 calendar days of receipt of work assignment						
1b	b Revised work plan Within 5 calendar days of receipt of comments from CO							
Task 3 Info	ormation Gathering and Analysis							
3-2 Discussion of Data Compilation, Analysis and Presentation Plan		In accordance with Methodology Schedule approved in Task 2-7b of origina WA						
Task 4 Rep	ort							
4-1	Draft briefing with graphics	In accordance with Methodology Schedule approved in Task 2-7b						
4-2-a.	Draft Report	In accordance with Methodology Schedule approved in Task 2-7b						
4-2-b.	Final Draft Report	As specified via Technical Directive						
4-3	Final Report 14 calendar days after receipt of comments on Draft Report from WA COR							

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EPA	United States Environm Washin	nental Protection igton, DC 20460	Agency		Work Assignment Number 3-33 Other Amendment Number:						
LFA	Work A	ssignment	:								
Contract Number	Contract Period 1	2014									
EP-W-10-002	100 to their manages before their T	/19/2009 To	09/19/	2014	Title of Work Assign		ne				
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INDUSTRIAL ECONOMICS, INCORPORATED Pg. 10 11. element 3, Sec. 1/Para.1											
Purpose: Work Assignment		_		s_winte							
	_	Work Assignment Close-Out				Period of Performance					
Work Assignment Ami	endmeet	Incremental Funding	ng								
X Work Plan Approval	2				From 09/20/	2012 to C4	/30/2013				
Comments: The purpose of this action to Work Assignment 3-33 is to approve the contractor's work plan dated February 21, 2013 For an additional 71 level of effort hours, (b)(4) in estimated cost, and (b)(4) in fixed fee, for a total additional amount of \$10,630.35.											
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(Signature)	,	FAX	FAX Number:								
Project Officer Name Cheryl R. Bro	DWIL			Brar	ich/Mail Code:						
	Pho	Phone Number: 202-566-0940									
(Signature)	FAX	Number:									
Other Agency Official Name		Brar	Branch/Mail Code:								
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(Signature)	Alle Magain	(Date,	;	FAX	FAX Number:						
Contracting Official Name Storffair, Man	ctiva n	Brar	Branch/Mail Code:								
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Wark Assignment Form (WebForms v10)

CD4				United States Environmental Protection Agency Washington, DC 20460						Work Assignment Number				
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0.55	Comments: The purpose of this amendment no Work Assignment(WA: 3-33 is to approve the contractor's request dated April 10, 2013 to extend the WA period of performance end date to May 31, 2018 at no additional cost to the Sovernment.													
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Comments:										
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